



FILE NO.A31304-B-A-F 069906.0105

PATENT

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

SEP 16 2002

Applicant : Mitchell et al
Serial No. : 10/076,248 Examiner : TBD
Filed : February 12, 2002 Group Art Unit: TBD
For : METHODS AND COMPOSITIONS FOR USE IN SPLICEOSOME
MEDIATED RNA *TRANS*-SPLICING

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REQUEST FOR A CORRECTED OFFICIAL FILING RECEIPT

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231

July 22, 2002
Date of Deposit

Carmella L. Stephens
Attorney Name

41,328
PTO Registration No

Carmella L. Stephens
Signature

July 19, 2002
Date of Signature

Assistant Commissioner for Patents
Washington, D.C. 20231

Attention: Office of Initial Patent Examination
Customer Service Center

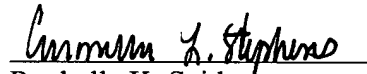
Sir:

In reviewing the Official Filing Receipt for the above-identified application, we note that it has an error in the Domestic Priority Data section. Provisional application Serial No. 60/008,317 12/07/1995 should read **60/008,317 12/15/1995**. We enclose a copy of the Official Filing Receipt which was mailed for the above-referenced patent application on March 20, 2002.

Applicants have indicated the necessary correction on the enclosed copy of the Filing Receipt in red ink and request correction of the error in all Patent and Trademark Office records. Applicants additionally request issuance of a new, corrected Filing Receipt.

Applicants believe no fee is due for this communication. The Commissioner is hereby authorized to charge payment of any fees associated with this communication to Deposit Account No. 02-4377. A duplicate copy of this sheet is enclosed.

Respectfully submitted,



Rochelle K. Seide

PTO Registration No. 32,300

Carmella L. Stephens

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Attorneys for Applicant

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO. | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|------------------|----------|------------|------------|
| 10/076,248 | 02/12/2002 | 1645 | 1911 | 31304-B-A-F | 10 | 53 | 10 |

21003
BAKER & BOTTS
30 ROCKEFELLER PLAZA
NEW YORK, NY 10112



CONFIRMATION NO. 6317

FILING RECEIPT



OC000000007678910

Date Mailed: 03/20/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Lloyd G. Mitchell, Durham, NC;
Mariano A. Garcia-Blanco, Durham, NC;
Madaiah Puttaraju, Durham, NC;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CIP OF 09/941,492 08/29/2001
WHICH IS A CIP OF 09/838,858 04/20/2001
WHICH IS A CIP OF 09/756,096 01/08/2001
WHICH IS A CIP OF 09/158,863 09/23/1998 PAT 6,280,978
WHICH IS A CIP OF 09/133,717 08/13/1998 PAT 6,083,702
WHICH IS A CIP OF 09/087,233 05/28/1998 ABN
WHICH IS A CIP OF 08/766,354 12/13/1996 PAT 6,013,487
WHICH CLAIMS BENEFIT OF 60/008,317 42/07/1995*
(*) Data inconsistent with PTO records.

2/12/15/1995

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Foreign Applications

If Required, Foreign Filing License Granted 03/15/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

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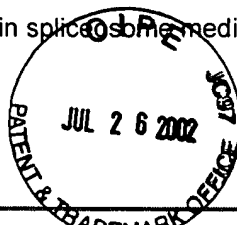
SEP 16 2002

Title

Methods and compositions for use in spliceosome mediated RNA trans-splicing

Preliminary Class

514



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**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

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JUL 29 2002

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 265

Complete if Known

| | |
|----------------------|--------------------------|
| Application Number | 10/076,248 |
| Filing Date | July 22, 2002 |
| First Named Inventor | Mitchell et al. |
| Examiner Name | To be assigned |
| Group Art Unit | 1645 |
| Attorney Docket No. | A31304-B-A-F 069906.0105 |

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

02-4377

Deposit
Account
Name

Baker Botts LLP

- ☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status.
See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money
Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

| Fee (\$) | Fee (\$) | Fee Description | Fee Paid |
|----------|----------|------------------------|----------|
| 740 | 370 | Utility filing fee | |
| 330 | 165 | Design filing fee | |
| 510 | 255 | Plant filing fee | |
| 740 | 370 | Reissue filing fee | |
| 160 | 80 | Provisional filing fee | |

SUBTOTAL (1) (\$ 0

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid | |
|--------------------|--------------|----------------|----------|-----|
| 20** | = 0 | X | = 0 | |
| Independent Claims | 3** | = 0 | X | = 0 |
| Multiple Dependent | | | | |

Large Entity Small Entity

| Fee (\$) | Fee (\$) | Fee Description |
|----------|----------|--|
| 18 | 9 | Claims in excess of 20 |
| 84 | 42 | Independent claims in excess of 3 |
| 280 | 140 | Multiple dependent claim, if not paid |
| 84 | 42 | ** Reissue independent claims over original patent |
| 18 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee (\$) | Small Entity Fee (\$) | Fee Description | Fee Paid |
|-----------------------|-----------------------|--|----------|
| 130 | 65 | Surcharge - late filing fee or oath | 65 |
| 50 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 130 | 130 | Non-English specification | |
| 2,520 | 2,520 | For filing a request for ex parte reexamination | |
| 920* | 920* | Requesting publication of SIR prior to Examiner action | |
| 1,840* | 1,840* | Requesting publication of SIR after Examiner action | |
| 110 | 55 | Extension for reply within first month | |
| 400 | 200 | Extension for reply within second month | 200 |
| 920 | 460 | Extension for reply within third month | |
| 1,440 | 720 | Extension for reply within fourth month | |
| 1,960 | 980 | Extension for reply within fifth month | |
| 320 | 160 | Notice of Appeal | |
| 320 | 160 | Filing a brief in support of an appeal | |
| 280 | 140 | Request for oral hearing | |
| 1,510 | 1,510 | Petition to institute a public use proceeding | |
| 110 | 55 | Petition to revive - unavoidable | |
| 1,280 | 640 | Petition to revive - unintentional | |
| 1,280 | 640 | Utility issue fee (or reissue) | |
| 460 | 230 | Design issue fee | |
| 620 | 310 | Plant issue fee | |
| 130 | 130 | Petitions to the Commissioner | |
| 50 | 50 | Processing fee under 37 CFR 1.17(q) | |
| 180 | 180 | Submission of Information Disclosure Stmt | |
| 40 | 40 | Recording each patent assignment per property (times number of properties) | |
| 740 | 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 740 | 370 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 740 | 370 | Request for Continued Examination (RCE) | |
| 900 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 265

SUBMITTED BY

Complete (if applicable)

| | | | | | |
|-------------------|-----------------------------|-----------------------------------|---------------|-----------|----------------|
| Name (Print/Type) | Carmella L. Stephens | Registration No. (Attorney/Agent) | 41,328 | Telephone | (212) 408-2539 |
| Signature | <i>Carmella L. Stephens</i> | Date | July 22, 2002 | | |

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